

INVESTMENT MANAGEMENT SOLUTIONS



Operational Excellence for Investment Management Firms

Vendor-neutral management of client and reference data for unique business requirements

Enterprise-wide diverse transaction processing, including interfaces, DTC confirm/affirm, event processing and order and execution management systems

Fully customizable reconciliation model

On-demand creation and distribution of standard and customized reports for internal and external stakeholders, including branded reports for clients or board members

Automatic review and simplified data production and reporting on benchmarks/composites, time- and period-weighted returns and custom performance calculations

Integrated, stable and scalable platform

Proven accounting and operational expertise

**BROADRIDGE
INVESTMENT MANAGEMENT
SOLUTIONS**

End-to-End Investment Management Support

Responsive, personal client service



Broadridge®

Keeping the Focus on Growth and Profitability

Growth in AUM presents paradoxical challenges for investment management firms. To sustain growth, managers must focus more intently on improving returns, servicing clients and attracting new capital—but with growth comes increasing operational requirements that detract from these core initiatives. Some firms invest in their own technology systems supported by specialized staff. However, these are more expensive over the long term to upgrade, support or replace as the business scales. Conversely, many firms recognize that while critical to the business, some operational functions have minimal strategic value and look for more efficient, cost-effective and scalable alternatives.

Relying on a strategic partner like Broadridge for technology-enabled operational services can help create economies of scale in both technology and human capital. It eliminates the drain on resources from legacy systems and frees staff to focus on core competencies. Plus, it makes expanded solutions readily available as the business grows.

Broadridge has been a trusted partner to leading investment management firms for more than 50 years. We are the only provider with a global network of technology, services and industry relationships vast enough to support the entire investment lifecycle. Our flexible delivery model supports a balanced business that is well-positioned to grow swiftly and profitably.

Technology-Enabled Solutions for the Entire Investment Management Lifecycle

Broadridge offers complete investment management solutions for asset managers, advisors, pension funds and other buy-side organizations. We combine expert managed services, award-winning hosted technology, and unparalleled implementation and support to help manage risk, accelerate growth and deliver real business value.

Broadridge supports the full range of back office functions—from accounting and administration to investor servicing—and integrates seamlessly with our middle and front office products or third-party solutions. We enhance our client's existing infrastructure while minimizing the technology footprint and reducing the cost base. We cost-effectively assume operational burdens such as accounting, data management and reporting, so managers can focus on strategic functions that drive profitability and growth. Flexible and customizable, Broadridge Investment Management Solutions meet today's needs and scale to tomorrow's.

Enterprise-Level Technology, Economies of Scale for Every Firm

Broadridge Investment Management Solutions create a complete, flexible and scalable managed services offering delivered across a single, hosted platform.

Our fully integrated, end-to-end platform for financial data management, investment accounting, reporting and analytics features built-in automation and workflow to drive optimal efficiency, information utilization and risk mitigation across the enterprise. It is leveraged by some of the largest and most complex investment pools in the world, supporting the management of more than \$1.5 trillion in collective global assets. Our clients leverage this enterprise system on a scale that makes sense for their business. Optional, ongoing professional services ensure the most current technology is always up and running without the need for lengthy implementation and maintenance.

Operational Experts to Support Your Business

As the leading provider of technology-driven solutions for wealth management, asset management and capital markets firms, Broadridge has decades of experience supporting the investment enterprise with unparalleled expertise, innovation and thought leadership. Within our managed services solution framework, our experts operate as an extension of our client's team. Dedicated portfolio accounting and operational professionals maintain an up-to-date, accurate and actionable book of record in accordance with client-specific service level agreements.

About Broadridge Investment Management Solutions

For more information about Broadridge Investment Management Solutions, please contact us at inv-acct@broadridge.com or phone us at (856) 797-1200.



CASE IN POINT: GROWING AND SCALING THE BUSINESS WITH A MANAGED SERVICES OFFERING

Situation

A privately held asset management firm with \$7.6 billion in assets was leveraging an internally managed system from a leading vendor to deliver data to support the investment management process and maintain accounting and investment books of record. With new clients coming on board and AUM growing, they faced the need to add non-strategic, junior staff members to support expanding operational needs rather than investing in continued business growth.

Result

Broadridge provided the firm with a more effective, cost-efficient alternative to keeping investment accounting operations in-house. This allowed them to invest more effort and capital into portfolio management and other revenue-generating functions. Broadridge provided reliable, scalable accounting book of record operations in a managed cost, low-overhead framework. As a result, the firm has enjoyed steady growth with AUM increasing from \$1.5 billion to nearly \$6 billion, and the client base increasing from 10 portfolios and five clients to 50 portfolios and thousands of clients, in less than five years. There has been no need to scale systems or staff and no disruption of operational processes.

